United Nations S/2001/1335

Security Council

Distr.: General
31 December 2001

Original: English

Letter dated 31 December 2001 from the Chairman of the Security Council Working Group on Peacekeeping Operations addressed to the President of the Security Council

I have the honour to submit the third report of the Security Council Working Group on Peacekeeping Operations.

The Working Group undertook an assessment of the implementation of Security Council resolution 1353 (2001) pursuant to operative paragraph 3 of that resolution and to section D, paragraph 1, of annex I thereto. The Working Group is pleased to attach its report hereto for consideration by the Security Council (see annex).

It would be appreciated if the present letter and its annex could be circulated as a document of the Security Council.

(*Signed*) Curtis A. **Ward**
Chairman of the Security Council Working Group on Peacekeeping Operations

01-71996 (E) 030102

Annex

Third report of the Security Council Working Group on Peacekeeping Operations

1. The Security Council Working Group on Peacekeeping Operations, pursuant to its mandate established by paragraph 3 of resolution 1353 (2001) and by section D, paragraph 1, of annex I to that resolution, undertook an assessment of the efficiency and effectiveness of the measures set out in the resolution for meetings with troop-contributing countries with a view to the possibility of further improvement to the current system. The Working Group reviewed the process of consultations with the troop-contributing countries over the course of the past six months, including the conduct of the meetings of the Security Council with those countries.

2. Further to the said mandate, the Working Group included in its consideration the specific proposals made by troop-contributing countries for new mechanisms for strengthening cooperation with them (see S/2001/535 and S/2001/626).

3. During the assessment process, the Working Group held meetings with and benefited from the views of a broad range of troop-contributing countries, which are set out in paragraphs 2 and 4 of the assessment attached hereto.

4. The Working Group also benefited from the views of the Secretariat.

5. The Working Group's views, conclusions and recommendations are set out in paragraph 5 of the assessment.

6. Included in the assessment is consideration of the use of the Working Group as an additional mechanism for consultations and for strengthening cooperation with the troop-contributing countries and, to that end, the Working Group prepared a draft note by the President of the Security Council for the setting up of such a new mechanism. The draft note, referred to in paragraph 5 (g) of the assessment, is attached as appendix I.

7. The draft note provides, inter alia, for joint meetings between the Working Group, major troop-contributing countries and the Secretariat to allow maximum interactive discussions of issues pertaining to specific peacekeeping operations. The object of these discussions, set out in more detail in paragraph 2 of the draft note, will be to facilitate the work of the Security Council and the Secretariat by taking into account the views of the troop-contributing countries with respect to specific peacekeeping operations.

8. The Working Group agreed to continue to assess implementation of resolution 1353 (2001) and any new mechanism, and that the proposals of the Russian Federation and of the United Kingdom, referred to in paragraph 5 (f) would require further consideration.

9. The Chairman wishes to express his deep appreciation to the past and present members of the Working Group for their cooperation in carrying out the responsibilities entrusted to them in the Working Group (see list of members in appendix II). The Chairman especially expresses thanks to Joan Thomas of the Jamaica delegation, who filled in on occasion as Chairman of the Working Group in the absence of the Chairman, and to the support staff at the Permanent Mission of Jamaica.

10. The Chairman also expresses appreciation for the cooperation and assistance extended by the Secretariat, in particular by Norma Chan, who readily facilitated arrangements for the meetings of the Working Group, and to the Department of Peacekeeping Operations for being responsive to the many queries posed by the Working Group.

(*Signed*) Curtis A. **Ward**
Chairman
Security Council Working Group on Peacekeeping Operations

Security Council Working Group on Peacekeeping Operations assessment of Security Council resolution 1353 (2001) of 13 June 2001

This assessment of Security Council resolution 1353 (2001) of 13 June 2001 is undertaken pursuant to operative paragraph 3 of the resolution, to wit, to assess within six months of the adoption of the resolution the efficiency and effectiveness of the agreed measures and to consider their further improvement taking into account the proposals of the troop-contributing countries, and to annex I, section D, paragraph 1 thereto, in which the Council expresses its intention to assess within six months the efficiency and effectiveness of its meetings with troop-contributing countries, with a view to the possibility of further improvement to the current system, including through the consideration of specific proposals of troop-contributing countries for new mechanisms. The Security Council also requested its Working Group on Peacekeeping Operations to report to the Council on its findings.

1. Discussion in the Working Group (11 October 2001)

Assessment of the efficiency and effectiveness of the measures set out in resolution 1353 (2001) and its annexes has been on the agenda of the Working Group.

(a) Prior to this preliminary review on 11 October 2001, meetings with the troop-contributing countries were held pursuant to section A of annex II, resolution 1353 (2001) in the private meeting format of the Council, during France's presidency in September 2001 on the United Nations Mission in Ethiopia and Eritrea (UNMEE) and the United Nations Mission in Sierra Leone (UNAMSIL). These meetings provided opportunities for the Security Council and the troop-contributing countries to receive comprehensive briefings from the Secretariat, to raise questions and to exchange views on the issues surrounding these particular peacekeeping operations. Members of the Security Council were apprised of the issues of concern to the troop-contributing countries with respect to these peacekeeping operations from the questions and comments of those countries in response to the briefing received from the Secretariat. Members of the Council also used these meetings to comment on the briefings and to raise questions with the Secretariat.

(b) There was general agreement in the Working Group that the private meeting format represented progress in the process of consultations between the Security Council and the troop-contributing countries. Members of the Working Group, however, were of the view that the issues raised and opinions expressed by the troop-contributing countries should be reduced to writing by the President of the Council and be made available to Council members during future deliberations on peacekeeping operations. It was agreed that, in order to ensure that the views and concerns expressed by the troop-contributing countries were given due consideration by the Council, the President of the Council would be advised to implement the practice contemplated for consultation meetings pursuant to section B, paragraph 6, of annex II to the resolution whereby the President of the Security Council will prepare, with the assistance of the Secretariat, and make available a summary of the content of such meetings and the summary of discussion will be distributed to Council members in advance of informal consultations or of the next meeting on the relevant peacekeeping operation, where appropriate.

(c) During Ireland's presidency of the Council in October, a summary of the views expressed by the troop-contributing countries in the meetings on the United Nations Organization Mission in the Democratic Republic of the Congo (MONUC) and the United Nations Transitional Administration in East Timor (UNTAET) were prepared in writing and distributed to the members of the Council for their use during further consultations of the Council on these two peacekeeping operations.

(d) Within the Working Group there were divergences of views with respect to the level of consultations and the expectations outlined in section B, paragraphs 3 to 5, of annex II, as to whether the Security Council, the troop-contributing countries and the Secretariat had in fact implemented fully the spirit and letter of resolution 1353 (2001). It was the general view that the intent of the Council for these meetings to be more interactive with the troop-contributing countries was not being realized. While the troop-contributing countries and Council members reacted to the briefings with comments and questions directed at the Secretariat, there was very little if any exchange between the troop-contributing countries and Council members. It was felt that these meetings would benefit from being more substantive and interactive in order to fulfil the desire to foster a spirit of partnership, cooperation, confidence and mutual trust and that the Security Council members, the troop-contributing countries and the Secretariat should do more in this regard.

2. Meetings with troop-contributing countries (Group of 7 plus 1)

(a) The Working Group convened a meeting on 31 July 2001 at the level of Ambassadors with the troop-contributing countries that had submitted proposals to the Security Council for enhanced cooperation between the Council and those countries (see S/2001/535 and S/2001/626; the troop-contributing countries indicated that the proposals contained in both documents complemented each other).

(b) The troop-contributing countries participating in this meeting said that, while the measures contemplated under resolution 1353 (2001) could provide for a greater level of information to them through the briefings of the Secretariat, the format of these meetings could not provide the level of interaction necessary for major troop-contributing countries to engage the Security Council on issues of importance to major troop-contributing countries.[1] In light of this and in addition to the meetings contemplated pursuant to resolution 1353 (2001), the troop-contributing countries proposed the establishment of mission-specific management committees comprised of members of the Security Council and the major troop-contributing countries as appropriate for specific peacekeeping operations. In the views of these countries, such a mechanism would provide major troop-contributing countries most directly and substantively involved in a peacekeeping operation an opportunity to bridge the gap between the Member States with the decision-making authority and those asked to put their soldiers at risk. The troop-contributing countries stressed that it was not their intention to usurp the prerogatives of the Security Council for making decisions on all aspects of peacekeeping operations.

(c) The Working Group, at the request of the aforementioned troop-contributing countries, convened a meeting with their experts on 29 October 2001 to elaborate further on their proposals. These troop-contributing countries also used the

[1] For the purpose of this assessment, the Working Group adopted the definition of "major troop-contributing countries" to mean those contributing at least one formed military unit or a comparable number of civilian police.

opportunity to express their views on the efficiency and effectiveness of resolution 1353 (2001). They reiterated their concerns that the resolution, while allowing for a comprehensive briefing by the Secretariat in the private meeting format of the Council, did not provide an opportunity for the major troop-contributing countries to engage the members of the Security Council in a constructive dialogue which would inform Council members on specific issues of concern to the troop-contributing countries. Those countries stressed that their proposal was complementary to resolution 1353 (2001) and not intended to replace the measures contained therein. They also reiterated their intention in no way to usurp the authority of the Security Council.

3. Interim assessment by the Secretariat

(a) At the request of the Chairman of the Working Group, the Under-Secretary-General for Peacekeeping Operations provided the Working Group with a preliminary assessment of the implementation by the Secretariat of those measures in resolution 1353 (2001) within its purview. The Secretariat indicated measures being taken to fulfil its obligations pursuant to resolution 1353 (2001) and those measures contemplated in the future.

(b) In the consultations that followed with the Working Group, the Secretariat reminded the Working Group of the importance of upholding the operational management and other responsibilities of the Secretariat and the maintenance of the traditional United Nations chain of command and control.

4. Meeting with the Special Committee on Peacekeeping Operations

The Working Group requested a meeting with the Special Committee on Peacekeeping Operations to hear the views of a wider group of troop-contributing countries on:

- The implementation of resolution 1353 (2001) with regard to its efficiency and effectiveness;
- The proposals of the troop-contributing countries comprising the Group of 7 plus 1 for a new mechanism of cooperation and consultation with the Security Council.

At this meeting, which was convened on 14 December 2001, the views of a number of troop-contributing countries were expressed. The points raised by many of the representatives of those countries who spoke were as follows:

(a) The consultation process provided by resolution 1353 (2001) is an important step forward in the process of consultations between the Security Council and the troop-contributing countries and must be preserved as a separate track to be complemented by any new mechanism being considered by the Council;

(b) Resolution 1353 (2001) has significant untapped potential and there is room for improvement in its full implementation, which is encouraged;

(c) Implementation of resolution 1353 (2001) could be made more effective in the following ways:

(i) The timing of meetings should allow for the troop-contributing countries to participate after timely receipt of the Secretary-General's report on specific peacekeeping missions under consideration;

(ii) The Secretary-General's reports should be issued earlier, even if it means issuing interim reports to be updated at the time of the meetings;

(iii) Participation in these meetings should be open to regional and subregional arrangements with specific interest in the peacekeeping operation;

(iv) Resolution 1353 (2001) can provide opportunities for participation in the process of consultations for other non-troop contributors to peacekeeping operations;

(v) The meetings conducted under resolution 1353 (2001), in particular the meetings on MONUC, UNAMSIL, UNMEE and UNTAET, were major improvements over past practices but they did not go far enough in providing the level of dialogue wanted by major troop-contributing countries;

(d) In describing resolution 1353 (2001) as "not a panacea", many troop-contributing countries expressed strong support for a new mechanism of cooperation and consultation between the Security Council and major troop-contributing countries as a way to ensure the future of peacekeeping operations. A minority spoke of including financial supporters and smaller troop-contributing countries in any new mechanism;

(e) Some troop-contributing countries indicated that they saw a linkage between progress on the issue of strengthening cooperation between the Security Council, troop-contributing countries and the Secretariat and bridging the commitment gap;

(f) A new mechanism would provide the necessary modalities to make the process of cooperation and consultations more efficient and effective in that major troop-contributing countries would be afforded a process wherein the members of the Security Council would give due consideration to the views and concerns of those countries;

(g) In considering a new mechanism, most troop-contributing countries generally made the following additional points:

(i) Participation should be by those troop-contributing countries providing formed units to peacekeeping operations;

(ii) Participation should be kept as flexible as possible to allow for participation by all those countries offering significant contributions;

(iii) Establishment of a new mechanism should follow a dual track approach that would complement resolution 1353 (2001) and not replace it;

(iv) Any new mechanism should allow for relationship between major troop-contributing countries and the other troop-contributing countries;

(v) A new mechanism should provide a forum for free-flowing dialogue between the major troop-contributing countries and the Security Council from the inception of peacekeeping operations through the departure from such operations;

(vi) The Security Council should maintain the momentum created by resolution 1353 (2001) to consider a new mechanism;

(h) Along with widespread support for a new mechanism for cooperation, some expressed the view that, before a decision on the issue is taken by the Council, a thorough consideration of the relevant proposals is needed;

(i) Some troop-contributing countries indicated that they looked forward to a discussion of the new mechanism issue at the next meeting of the Special Committee, which is scheduled to be held in February 2002.

5. Views, conclusions and recommendations of the Working Group

(a) Members of the Working Group are of the view that this assessment should be considered as a preliminary review of the implementation of resolution 1353 (2001), as six months is not a sufficient amount of time to evaluate fully its effectiveness and efficiency, and that a further in-depth review should take place in the future;

(b) Members of the Working Group support the participation by interested parties and Member States making significant contributions to a peacekeeping operation other than troops or civilian police in the meetings of the Security Council with the troop-contributing countries;

(c) Members of the Working Group are of the view that the format of meetings conducted under resolution 1353 (2001) has provided a better process for information exchange compared to that which existed prior thereto and recognize the desirability for greater interaction between the members of the Security Council, the troop-contributing countries and the Secretariat during these meetings;

(d) Consultation meetings chaired by the President of the Security Council should be used as the principal means of consultations with the troop-contributing countries. Public or private meetings of the Council should be convened for a full and high-level consideration of issues of critical importance to a specific peacekeeping operation, as provided for in section A of annex II to resolution 1353 (2001);

(e) Members of the Working Group, in order to improve the effectiveness and efficiency of the implementation of the measures provided for in resolution 1353 (2001) for consultations with troop-contributing countries, made the following recommendations:

(i) The private meetings with the troop-contributing countries should be held in a room appropriate to facilitate greater interaction between members of the Security Council, the troop-contributing countries and the Secretariat;

(ii) Meetings with troop-contributing countries should be scheduled so as to allow them an opportunity to review the report of the Secretary-General with sufficient lead time before the meetings and the Secretariat should be encouraged to issue these reports earlier;

(iii) The Secretariat's reports and the members of the Security Council would benefit from consultation meetings with the major troop-contributing countries of specific peacekeeping operations if such meetings were held prior to preparation of the reports;

(iv) The Secretariat should be encouraged to provide briefings by military and civilian police advisers in addition to the report of the Special Representative of the Secretary-General;

(v) The Secretariat should be encouraged to allow for these briefings to be conducted by the Special Representative of the Secretary-General and the Force Commander and Police Commissioner as often as it is convenient to do so;

(vi) The Secretariat should be encouraged to employ information technology in these briefings;

(vii) The President of the Security Council should provide written reports of the views expressed in these meetings for the use of the members of the Council in their future deliberations on the specific peacekeeping operation;

(viii) In order to make those meetings more substantive and more useful, the agendas might be circulated well in advance, preferably one week ahead, allowing for necessary preparation. The President of the Council could ask the Secretariat to forward, where possible and appropriate, a background note, with an indicative list of issues to be addressed;

(f) The Working Group has not yet fully examined certain proposals put forward during the period under review, which will require further consideration:

- A position paper on the use of the Military Staff Committee, submitted by the Russian Federation;
- A proposal to enhance military advice to the Security Council, submitted by the United Kingdom;

(g) Having otherwise concluded this assessment pursuant to resolution 1353 (2001) and having taken into account the specific proposals for a new mechanism by the troop-contributing countries (see S/2001/535 and S/2001/626), the Working Group offers for consideration by the Security Council the attached draft note on the use of the Working Group as an additional mechanism for strengthening cooperation with the troop-contributing countries (appendix 1);

(h) The Working Group will continue to assess implementation of resolution 1353 (2001) and any new mechanism;

(i) In relation to subparagraph 5 (g) above, the members of the Working Group have further agreed that meetings held under any new mechanism should complement those held pursuant to resolution 1353 (2001) and not supplant the need for such meetings. Furthermore, the creation of any new mechanism will not prejudice the prerogative of the Security Council nor interfere in the operational responsibilities of the Secretariat for peacekeeping operations.

Appendix I

Draft note by the President of the Security Council

1. The members of the Security Council, recalling the statement by the President of the Security Council on 31 January 2001 (S/PRST/2001/3) and relevant Security Council resolutions about peacekeeping, having considered the views expressed, including in the letters of a number of troop-contributing countries of 30 May 2001 (S/2001/535) and 22 June 2001 (S/2001/626), and recognizing the desirability of forging a more effective partnership with troop-contributing countries, including by establishing a new mechanism for cooperation pursuant to section D, paragraph 1, of annex I to Security Council resolution 1353 (2001) of 13 June 2001, in addition to the current forms of consultation between the Council, the troop-contributing countries and the Secretariat, have given their agreement to the principle of convening joint meetings of the Security Council Working Group on Peacekeeping Operations and troop-contributing countries as an additional mechanism for strengthening cooperation with troop-contributing countries on specific peacekeeping operations.

2. The purpose of the joint meetings of the Working Group and troop-contributing countries is to enable the members of the Council, relevant troop-contributing countries and the Secretariat to engage in a closer and more interactive dialogue over issues pertaining to peacekeeping operations as outlined in paragraphs 2 and 4 of section B of annex II to resolution 1353 (2001) so as to complement effectively the ongoing process of consultation meetings pursuant to the above-mentioned resolution. At the joint meetings, specific aspects of peacekeeping operations will be discussed in order to facilitate the work of the Security Council and the Secretariat by taking into account the views of the troop-contributing countries in relation to a corresponding peacekeeping operation.

3. The joint meetings of the Working Group and troop-contributing countries will be composed of the members of the Security Council and relevant troop-contributing countries as identified by the Secretariat, in consultations with the Chairman of the Working Group, in particular those contributing at least one formed military unit or a comparable number of civilian police, as well as representatives of the Secretariat. In exceptional cases, the Working Group may invite other significant actors to attend the joint meetings when the Working Group deems their participation to bring added value to the discussion at hand. The Secretariat is encouraged to provide military, political, humanitarian and other briefings and advice as appropriate.

4. The Chairman of the Working Group, in consultation with members of the Working Group, relevant troop-contributing countries and the Secretariat, will be responsible for convening the joint meetings of the Working Group and troop-contributing countries. Depending on the situation in specific peacekeeping operations, meetings will be held as often as necessary and practicable. In the case of new peacekeeping missions, joint meetings may be convened at an early stage in order to consult prospective troop-contributing countries during the mission planning process.

5. The joint meetings of the Working Group and troop-contributing countries will be chaired by the Chairman of the Security Council Working Group or an alternate. The Chairman will invite members of the Working Group and the troop-contributing

countries to participate, indicating the level he or she deems appropriate for specific meetings. As a general rule, the venue and time of such meetings will be published in the *Journal* of the United Nations. The procedures adopted for the joint meetings should be kept as flexible as possible to allow for interactive discussion by the participants.

6. The Chairman of the Security Council Working Group on Peacekeeping Operations will be responsible for reporting to the Security Council on the joint meetings. Such communication can take various forms, including oral briefings. The Secretariat will be requested to provide the necessary assistance in this regard and in other relevant areas.

7. The Security Council continues to commit itself to the implementation of resolution 1353 (2001). The existing formats of meetings with troop-contributing countries should be continued and improved according to the provisions contained in that resolution. Such meetings and the joint meetings of the Working Group and troop-contributing countries should be mutually complementary.

8. The new cooperation mechanism of the joint meetings of the Working Group and troop-contributing countries should not prejudice the responsibilities of the Security Council and its members as set out in the Charter and should not interfere in the operational responsibilities of the Secretariat for peacekeeping operations.

Appendix II

Members of the Security Council Working Group on Peacekeeping Operations

Bangladesh:	M. Ruhul Amin
China:	Cao Qing
Colombia:	Aura L. Lloreda
France:	Jean-Claude Brunet (Xavier Sticker)
Ireland:	Col. Patrick O'Sullivan (Barbara Cullinane)
Jamaica:	Joan Thomas
Mali:	Issa Konfourou
Mauritius:	Rakesh Bhuckory
Norway:	Haakon Gram-Johannessen/Geir Sjoberg (Lt. Col. Oyvind Dammen, Paul G. Larsen)
Russian Federation:	Vladimir Zaemsky
Singapore:	Brig. Gen. Yap Ong Heng
Tunisia:	Mohamed S. Tekaya
Ukraine:	Andriy Beshta (Vsevolod Sobko)
United Kingdom of Great Britain and Northern Ireland:	Rosemary Davis (Catherine MacKenzie, Matthew Taylor, Col. N. D. A. Seymour)
United States of America:	Constance Arvis/Lt. Col. James A. Day (Maj. Kimberly Field, Hillary Mann)